

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/040,862, filed on November 6, 2001,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1 Alexander Gaiger Date: 05-13-02  
Signature: *Alexander Gaiger* Citizen of: Austria

Inventor 2 Paul A. Algate Date: 05/16/2002  
Signature: *Paul A. Algate* Citizen of: United Kingdom

Inventor 3 Jane Mannion Date: 5/14/2002  
Signature: *Jane Mannion* Citizen of: United States

Inventor 4 Marc Retter Date: 5/14/02  
Signature: *Marc W. Retter* Citizen of: United States

☐ Additional inventors are being named on form(s) attached hereto.

Please type a plus sign (+) inside this box →



PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	<b>Application Number</b>	10/040,862
	<b>Filing Date</b>	November 6, 2001
	<b>First Named Inventor</b>	Alexander Gaiger
	<b>Title</b>	COMPOSITIONS AND METHODS FOR DETECTION, DIAGNOSIS AND THERAPY OF HEMATOLOGICAL MALIGNANCIES
	<b>Group Art Unit</b>	1645
	<b>Examiner Name</b>	NA
	<b>Attorney Docket Number</b>	014058-013520US

I hereby appoint:

☒ Practitioners at Customer Number

20350

Place Customer  
Number Bar Code  
Label here

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

☐ Firm or  
Individual Name

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

<b>Name</b>	Kathleen N. McKereghan, Senior V.P., General Counsel and Secretary
<b>Signature</b>	
<b>Date</b>	24 May 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

**Burden Hour Statement:** This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
SF 1323794 v1

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Corixa Corporation

Application No./Patent No.: 10/040,862

Filed/Issue Date: November 6, 2001

Entitled: COMPOSITIONS AND METHODS FOR THE DETECTION, DIAGNOSIS AND THERAPY OF  
HEMATOLOGICAL MALIGNANCIES

Corixa Corporation, a corporation of Delaware

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]**

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

24 May 2002  
Date

Kathleen N. McKereghan  
Signature

Kathleen N. McKereghan, Esq.

Typed or printed name

Sr. Vice President, General Counsel and  
Secretary

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Alexander Gaiger of 1421 42nd Avenue, E., Seattle, WA 98112; Paul A. Algate of 580 Kalmia Pl., NW, Issaquah, WA 98027; Jane Mannion of 8904 192nd Street, SW, Edmonds, WA 98026; Marc Retter of 33402 NE 43rd Place, Carnation, WA 98014; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: COMPOSITIONS AND METHODS FOR THE  
DETECTION, DIAGNOSIS AND THERAPY OF  
HEMATOLOGICAL MALIGNANCIES

Date(s) of execution of Declaration: 5/13/02, 5/16/02, 5/16/02, and  
5/14/02, respectively

Filing Date: November 6, 2001

Application No.: 10/040,862; and

WHEREAS, Corixa Corporation, a corporation of the state of Delaware, located at 1124 Columbia Street, Suite 200, Seattle, WA, 98104, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 05-13-02

Alexander Gaiger  
Alexander Gaiger

STATE OF WASHINGTON )  
 )  
 ) ss.  
COUNTY OF )

On 5/13/02, before me, DEIRDRE I. BRYAN,  
personally appeared Alexander Gaiger, personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument, and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

WITNESS my hand and official seal.

Deirdre I. Bryan  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 05/16/2002

Paul A. Algate  
Paul A. Algate

STATE OF WASHINGTON )  
 )  
 ) ss.  
COUNTY OF )

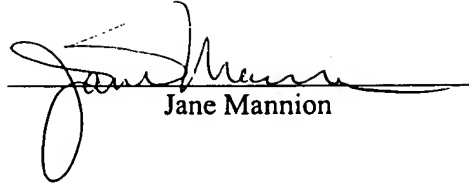
On 5/16/02, before me, DEIRDRE I. BRYAN,  
personally appeared Paul A. Algate, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Deirdre I. Bryan  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 5/16/2002

  
Jane Mannion

STATE OF WASHINGTON    )  
                                      )  
COUNTY OF                )    ss.

On 5/16/02, before me, DEIRDRE I. BRYAN,  
personally appeared Jane Mannion, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 5/14/02

  
Marc Retter

STATE OF WASHINGTON    )  
                                      )  
COUNTY OF                )    ss.

On 5/14/02, before me, DEIRDRE I. BRYAN,  
personally appeared Marc Retter, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 9/1/02



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

014058-013520US PK

SEPTEMBER 06, 2002

PTAS

TOWNSEND AND TOWNSEND AND CREW LLP  
PETER SEPERACK  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov



\*102148928A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/02/2002

REEL/FRAME: 013057/0527  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GAIGER, ALEXANDER

DOC DATE: 05/13/2002

ASSIGNOR:

ALGATE, PAUL A.

DOC DATE: 05/16/2002

ASSIGNOR:

MANNION, JANE

DOC DATE: 05/16/2002

ASSIGNOR:

RETTTER, MARC

DOC DATE: 05/14/2002

ASSIGNEE:

CORIXA CORPORATION  
1124 COLUMBIA STREET  
SEATTLE, WASHINGTON 98104

SERIAL NUMBER: 10040862  
PATENT NUMBER:

FILING DATE: 11/06/2001  
ISSUE DATE:

014058-013520US  
SEP 10 2002  
10 25 19 PM 8:23  
014058-013520US

013057/0527 PAGE 2

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



07-10-2002

Attorney Docket No. 14058-013520US

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)



102148928

Sheet

U.S. Department of Commerce  
U.S. Patent and Trademark Office

Tab settings ⇌ ⇌ ⇌ ▼

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Alexander Gaiger  
Paul A. Algate  
Jane Mannion  
Marc Retter

07/02/02

## 2. Name and address of receiving party(ies)

Name: Corixa CorporationStreet Address: 1124 Columbia StreetCity: Seattle State: WA ZIP: 98104Additional name(s) of conveying parties attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other: \_\_\_\_\_

Additional names and addresses attached? ☐ Yes ☒ NoExecution Date: 5/13/02, 5/16/02, 5/16/02, and 5/14/02,  
respectively

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 10/040,862

B. Patent No(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Peter Seperack  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-02006. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \_\_\_\_\_ \$40.00

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Peter Seperack

Name of Person Signing  
Atty. Reg. No. 47,932

Signature

June 25, 2002

Date

Total number of pages including cover sheet, attachments and document 4Mail documents to be recorded with required cover t :  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

07/09/2002 DBYME 0000189 201430 1004082

01 FC:581

40.00 CH

**ASSIGNMENT OF PATENT APPLICATION**

**JOINT**

WHEREAS, Alexander Gaiger of 1421 42nd Avenue, E., Seattle, WA 98112; Paul A. Algate of 580 Kalmia Pl., NW, Issaquah, WA 98027; Jane Mannion of 8904 192nd Street, SW, Edmonds, WA 98026; Marc Retter of 33402 NE 43rd Place, Carnation, WA 98014; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:       **COMPOSITIONS AND METHODS FOR THE  
DETECTION, DIAGNOSIS AND THERAPY OF  
HEMATOLOGICAL MALIGNANCIES**

Date(s) of execution of Declaration: 5/13/02, 5/16/02, 5/16/02, and  
5/14/02, respectively

Filing Date:               November 6, 2001

Application No.:         10/040,862; and

WHEREAS, Corixa Corporation, a corporation of the state of Delaware, located at 1124 Columbia Street, Suite 200, Seattle, WA, 98104, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 05-13-02

Alexander Gaiger  
Alexander Gaiger

STATE OF WASHINGTON )

ss.

COUNTY OF )

On 5/13/02, before me, DEIRDRE I. BRYAN

personally appeared Alexander Gaiger, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Deirdre I. Bryan  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 05/16/2002

Paul A. Algate  
Paul A. Algate

STATE OF WASHINGTON )

ss.

COUNTY OF )

On 5/16/02, before me, DEIRDRE I. BRYAN


personally appeared Paul A. Algate, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Deirdre I. Bryan  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 5/16/2002

  
Jane Mannion

STATE OF WASHINGTON )  
 )  
COUNTY OF ) ss.

On 5/16/02, before me, DEIRDRE I. BRYAN,  
personally appeared Jane Mannion, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 9/1/02

Dated: 5/14/02

  
Marc Retter

STATE OF WASHINGTON )  
 )  
COUNTY OF ) ss.

On 5/14/02, before me, DEIRDRE I. BRYAN,  
personally appeared Marc Retter, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 9/1/02